



**UNITED STATES ENVIRONMENTAL PROTECTION AGENCY**  
WASHINGTON, D.C. 20460

January 8, 2001

**THE INSPECTOR GENERAL**

**MEMORANDUM**

**SUBJECT:** Transmittal of the New OIG Organizational Structure

**TO:** W. Michael McCabe  
Deputy Administrator

Romulo L. Diaz  
Assistant Administrator for Administration  
and Resource Management

Attached is a reorganization package reflecting the new organization structure for the Office of Inspector General. We are reorganizing under authority of Section 6 (a) (6) of the Inspector General Act of 1978. This restructuring will expand our services to the Agency by adding a program evaluation component, and it will provide a focus for human capital within the OIG to provide our staff with the skills and competencies it needs to be successful in a rapidly changing work environment. This reorganization was effective January 2, 2001.

Although this reorganization does not require Agency approval, I am providing it for your information, and will be happy to answer any questions you may have.

*Nikki L. Tinsley*

Attachment

## **CONCISE STATEMENT OF CHANGE**

This reorganization addresses the Office of Inspector General's corporate vision and values to promote environmental quality, public health and good government through problem prevention and cooperative solutions. The new organizational structure will allow us to be more responsive to EPA's changing needs by removing the stovepipe systems developed over the years, and will facilitate the OIG's goals to be a responsive, customer-oriented organization that provides a workplace for its employees which promotes creativity, innovation and teamwork.

### **Organizational Changes**

The changes are outlined below and more fully discussed in the attached functional statements:

1. Establish the position of Deputy Inspector General who will be responsible for day-to-day operations of the Office of Inspector General.
2. Add a senior position reporting to the Inspector General for Systems/Science Advisor.
3. Establish an Office of Program Evaluation in Headquarters (24600000) to:
  - conduct and promote program evaluations of EPA programs and activities, initially using three lead evaluation staffs for Air, Water, and Waste Management; which may change or be augmented with additional subject matter leads as priorities change within the Agency;
  - conduct research on and stay abreast of methods that can be used for evaluations;
  - contribute to the OIG planning prioritization process.
4. Realign the functions in the Office of Audit Headquarters by abolishing the Policy and Resources Management Staff (24212000), the Deputy Assistant Inspector General for Internal Audits (24241000), the Deputy Assistant Inspector General for External Audits (24231000) and establishing under the Office of Audit organizational code (24211000):
  - the position of Deputy Assistant Inspector General for Audit
  - the Agency Business Systems Lead
  - the Contracts Lead
  - the Assistance Agreements Lead

5. Realign the functions in the Office of Investigations Headquarters (24310000) by establishing:

- a Special Investigations Unit
- a Technical Support Lead for
  - o Computer Crimes
  - o Contract Labs
- a Proactive Investigations Lead
- Reactive Investigations Leads

6. Realign the Office of Planning, Analysis and Results (PAR) (24500000) by establishing:

- a Deputy Assistant Inspector General for PAR
- a Planning Lead
- a Budget Lead
- a Customer Feedback and Performance Measurement Lead
- an Evaluation and Compliance Lead
- a Results Reporting Lead

The Office of Planning, Analysis and Results will also include a position for a contract specialist to assist the OIG with procurement of outside goods and services.

7. Abolish the Program Support Staff (24120000) and establish an Office of Mission Systems, headed by the Assistant Inspector General for Mission Systems (formerly the Assistant Inspector General for Management), which includes:

- a Director of Information Systems
  - o Systems Development
  - o Operations Technology
- a Director of Human Resources Systems
  - o Operations
  - o Policy

8. Establish an Office of Human Capital headed by the Assistant Inspector General for Human Capital. The Office of Human Capital is the organization that manages, coordinates and provides supervision to the OIG Resource Centers. It works in conjunction with other OIG offices to assign staff to audits, investigations and evaluations.

9. Include the Office of Counsel (24110000) in the revised organization and functions statements for the OIG.

## **BENEFITS AND IMPACTS ON PROGRAMS**

EPA is undergoing significant change. It is moving from a 1970's command-and-control, stove-pipe organization with end-of-pipe technology requirements to a more responsive organization that must deal with environmental issues that were not even on the radar screen when EPA was first established. Traditional organizational approaches to new environmental problems do not work.

The Office of Inspector General (OIG) is undergoing significant changes as well. These changes can be grouped into two major areas: Human Capital and Program Evaluations.

In 1998, the OIG began a journey on the road to improved performance. We began with a systems orientation toward organizational performance as structured by the Malcom Baldrige Award Criteria. The need for organizational change was further prompted from a survey of all OIG employees who believed the organization did not provide a workplace that allowed them to fully use their talents, skills and abilities. Since that time, the OIG has become an organization with a leadership philosophy built on trust, a shared vision, and a set of individual and organizational values, where each person is valued, and leadership is everyone's responsibility. EPA's "Workforce Assessment Project" discussed the importance of closing employee competency gaps to meet the challenges of the future. The new organization will develop employee competencies in Leadership, Management and Technical areas by broadening the narrow auditor/investigator/administrative specializations that existed in the past. A matrix management approach to assignments will facilitate this goal by allowing OIG employees to work on a wider variety of assignments in different locations with different teams and supervisors.

In addition to the prevention of waste, fraud and abuse, the statutory authority setting up the Offices of Inspectors General directs the OIGs to promote economy, efficiency and effectiveness in Agency operations. We believe the best way to accomplish this is through a variety of work products, including program evaluations. Program evaluations can assist EPA in emphasizing flexibility, innovation and common sense in meeting environmental goals. For this reason, we are implementing organizational changes that support this expanded role for the OIG to review EPA programs and operations in terms of their outcomes and environmental impact.

### **Program Accountability**

Under a goals-driven approach, the Office of Inspector General will link its planning, budgeting and accountability. The new organization supports and contributes to the achievement of the goals in EPA's strategic plan. The OIG will focus on targeted areas through a centralized planning process. It will conduct its audits, evaluations and other reviews with full stakeholder involvement, and will integrate science, public interest, and program information in the planning

process. To comply with Congressional statutes, OMB requirements, and professional standards, the OIG will conduct internal quality assessments, and establish and manage an integrated information system for its results-oriented approaches.

### **Measurement and Evaluation**

Planning and accountability will be centralized in the Office of Planning, Analysis and Results. The combining of the planning function with the budget function ensures that one office will be accountable for the integration of planning and budgeting. The Office of Planning, Analysis and Results will work with the offices of Audit, Investigations, Program Evaluation and the Human Capital managers to set organizational goals and develop the annual and strategic plans. The OIG has developed quantifiable achievements to measure progress in meeting objectives. The OIG has developed a balanced scorecard of performance measures, including return on investment, customer relations and employee development and satisfaction. Customer feedback is important to assess the success of OIG products, and questionnaires soliciting information and comments from OIG customers provide this information.

### **Integrity, Efficiency and Effectiveness**

The new OIG organization will greatly improve efficiency and effectiveness by establishing a structure that takes full advantage of employee skills and expertise, broadens the product lines of the OIG to include program evaluations and computer forensic investigations, and facilitates staff development through matrix management. The OIG will augment its existing skills by hiring a greater mix of scientists, social scientists, statisticians and others to complement its existing force of auditors, investigators and analysts. Other specialized skills will be obtained through detailees, consultants and contractor personnel.

Financial and programmatic integrity will improve by more closely tying planning, budgeting and results. The approach for centralizing the planning function will help ensure that the OIG is focusing its resources on the highest priority environmental issues. Effectiveness will be measured by using the results objectives listed in the OIG strategic plan, and by follow-up audits and reviews that will evaluate whether previous work improved EPA programs.

### **Reinvention and Streamlining**

The OIG has streamlined the way it conducts audits and investigations and has greatly reduced prescriptive procedures. Instead, the OIG relies on agreed-upon organizational and individual values to govern staff decisions regarding their work. Both Audit and Investigations have streamlined their work processes to increase effectiveness and efficiency.

The goal leads in the Office of Investigations (OI), the Office of Audit (OA), and the Office of Program Evaluation (OPE) will serve as focal points to bring together a body of work in their respective areas of emphasis. Using matrix management in staff assignments will allow the OIG to respond more quickly to rapidly changing environmental issues by working in teams whose combined skills and knowledge can best address the objectives of the assignment. The Office of Program Evaluation is reinventing the way we approach our performance reviews to focus more on outcomes and environmental impact. This new product line will assist EPA in progressing toward its strategic goals, and is an integral part of the Results Act process.

The OIG is undertaking Human Capital initiatives including: recruitment and diversity goals; career and executive development; coaching, mentoring and feedback for staff and supervisors.

### **Communication and Coordination**

The Office of Inspector General's communication workgroup developed an Internal Communications Strategy for the OIG. This strategy recognizes the importance of keeping all OIG staff fully informed. This is especially important during a time of change and reinvention. The OIG uses a variety of delivery mechanisms for distribution of information. The OIG Intranet is one of the main ways to keep staff in headquarters and other geographic locations apprized of new developments. Briefings for all managers and supervisors provide an opportunity to discuss and obtain their views on new initiatives, and biannual staff meetings bring everyone together to talk about the business and product lines of the OIG. E-mail, newsletters, video conferences, and teleconferences are also used to communicate and deliver information.

Communication with EPA media and program offices and the Congress is also critical to ensure that the work the OIG performs is relevant to the Agency's concerns. The OIG has had numerous meetings with EPA program personnel and Congressional staff to communicate the work we are undertaking in our pilots of program evaluations. We will continue to involve our EPA and Congressional customers in planning activities, and solicit customer feedback from them to gauge how well we are meeting our short and long term objectives and goals.

## **ANALYSIS OF IMPACT ON PERSONNEL**

The reorganization better enables the Office of Inspector General to fulfill its corporate vision and values to promote environmental quality, public health and good government through problem prevention and cooperative solutions. The new organizational structure will allow us to be more responsive to EPA's changing needs and will facilitate the OIG's goals to be a responsive, customer-oriented organization that provides a workplace for its employees which promote creativity, innovation and teamwork. This reorganization seeks to maximize the utilization of its human resources by redeploying current OIG staff and creating opportunities for recruiting individuals into newly defined organizational components. These components will be staffed based on the skill, abilities, expertise, and talents of employees while being sensitive to diversity opportunities. The new organizational structure achieves our objectives to have a matrix management organization and meet the Administrator's recommended supervisor to employee ratio of 1:11. This is based on the fiscal 2001, authorized level of 372 full-time equivalents (FTE) and 24 supervisory positions.

**Senior Executive Service (SES) Positions:** The OIG has nine SES positions and under the reorganization there will be no change in the number. Three Deputy Assistant Inspectors General positions which were formerly SES level positions are being reclassified at the GS-15 level. These SES staff will be reassigned to new offices/positions.

- Deputy Inspector General (*new position*)
- Systems/Science Advisor (*new position*)
- Counsel to the Inspector General
- Assistant Inspector General for Audit
- Assistant Inspector General for Investigations
- Assistant Inspector General for Program Evaluation (*new office/position*)
- Assistant Inspector General for Planning, Analysis and Results
- Assistant Inspector General for Mission Systems (*formerly Management*)
- Assistant Inspector General for Human Capital (*new office/position*)

**Senior Staffing (GS-14/15):** As part of the reorganization, the OIG developed a Position Management Plan to achieve its GS14/15 ceiling goal of 74 employees (excludes the four OIG Attorneys). The OIG will continue to work towards achieving this goal.

**Number of Employees Required:** This reorganization proposal is consistent with the authorized level of 372 FTE and a proposed hiring ceiling of 390 for FY2001. All current OIG personnel will be redeployed within the organization. Vacancies will be filled by using the merit promotion process.

**Number of Supervisory Positions:** There will be 24 Supervisory positions in the reorganization.

**Supervisor to Staff Ratio:** The supervisor to employee ratio is 1:15

**Impact on Grade Level of Incumbents:** Grade levels of employees are not affected by this reorganization. All assignments are expected to be accomplished by reassignment of employees to the same grade level.

**Impact on Diversity:** Selection and placement of employees in the organization will be made giving consideration to the diversity, balance, and movement of the staff.

**Classification Series of Current Employees:** New approaches to the nature and manner in which OIG activities are carried out may require reclassification of positions in the reorganization. Positions will be reclassified, as required, to comport with reinventing, restructuring and redefining the work.

**Required Reclassification/Retraining of Employees:** No adverse impact is anticipated where employees' positions require reclassification. In order to achieve a well-trained staff with the proper skills mix, training and learning opportunities will be provided to employees. Adequate resources will be devoted to assuring that individual and group training is available to employees as needed.

**Space and Physical Moves and Equipment Required:** Additional space will be needed to accommodate this reorganization. In addition, to the extent practical, we anticipate moving people so that supervisors and team members are located in close proximity to one another. We anticipate that new equipment, furniture and space will be required as a result of the reorganization.



<b>POSITION MANAGEMENT PLAN FOR FISCAL 2001</b>					
OFFICE	SES	15	14	13/Below	TOTAL–FY 2001 HIRING CEILING
Immediate Office IG	3*	2		1	6
Counsel	1	1	3	3	8
Audit	1	5	1	6	13
Program Evaluation	1	5	1	10	17
Investigations	1	2	5	7	15
Planning, Analysis & Results	1	1	2	12	16
Mission Systems	1	2	3	18	24
Human Capital	1		1	2	4
<b>Subtotal - Headquarters</b>	<b>9**</b>	<b>18</b>	<b>16</b>	<b>59</b>	<b>102</b>
<b>Audit/Evaluation Resource Center Components</b>					
Eastern		1	3		
Mid-Atlantic		1	2		
Southern		1	2		
Central		1	3		
Northern		1	2		
Western		1	2		
Headquarters Audit		1	2		
Financial Audit		1	2		
Washington Contracts		1	2		
Engineering & Science		1	1		
Information Technology		1	2		

<b>Investigations Resource Center Components</b>					
Mid-Atlantic Investigations		1	1		
Eastern Investigations		1	1		
Central Investigations		1	1		
Western Investigations		1	2		
<b>Subtotal Resource Centers</b>		<b>15</b>	<b>29</b>	<b>244</b>	<b>288</b>
<b>TOTAL</b>	<b>9**</b>	<b>33</b>	<b>45</b>	<b>303</b>	<b>390</b>
<b>Less: Attorney FTEs</b>		<b>(1)</b>	<b>(3)</b>		
<b>Total Goal - GS-14/15</b>		<b>32</b>	<b>42</b>		

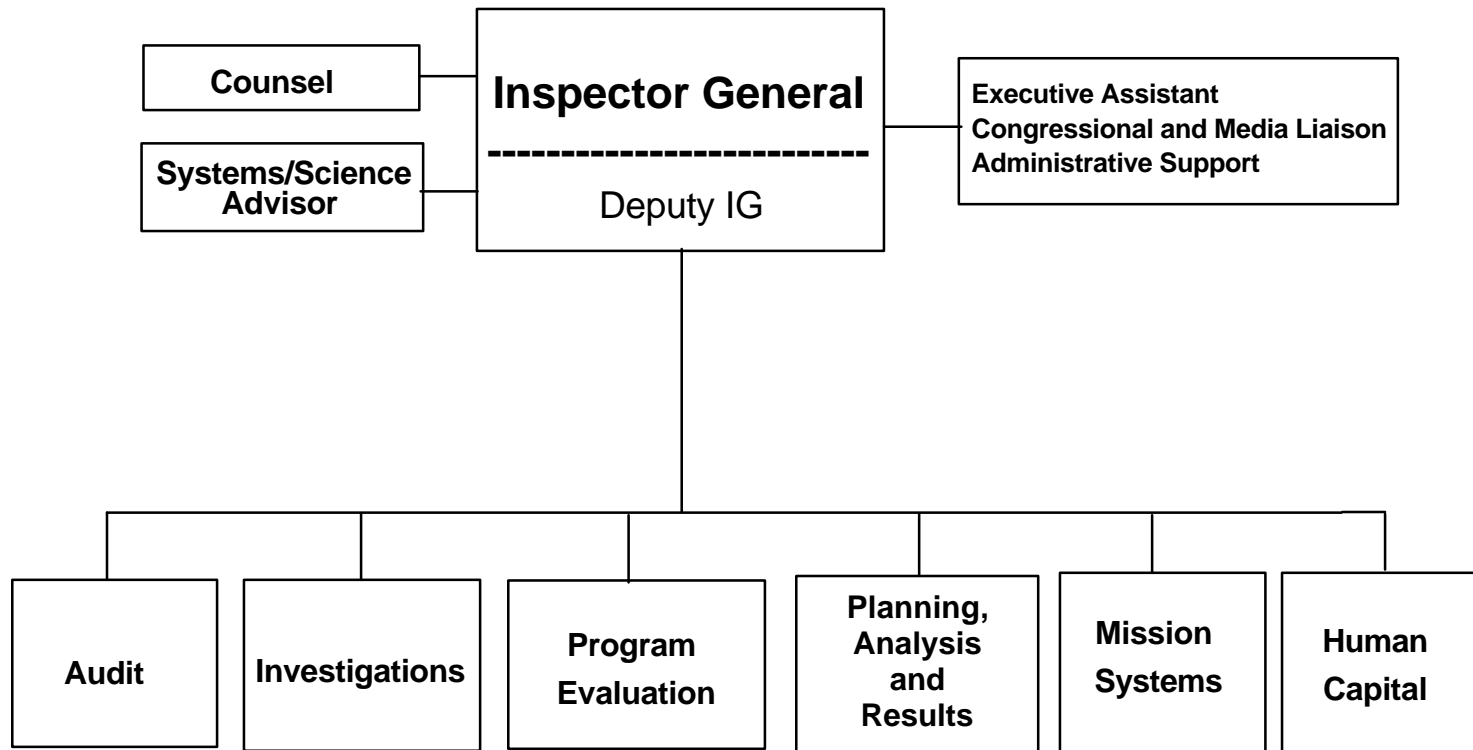
\* Includes the Inspector General

\*\* Excludes the Inspector General

Note: This is the OIG's Position Management Plan to achieve its GS14/15 goal of 74 employees (the four OIG attorneys are excluded from the goal). This is an initial allocation of positions, which may change over time based on considerations of complexity, volume, and quality of work performed by a Resource Center. We plan to have a GS-14 or GS-15 at every office where we are co-located with EPA. For Resource Center locations, these will be GS-15 positions. For all other office locations, these will be GS-14s. Other than this, future allocation of positions may change as they become vacant.

# EPA Office of the Inspector General

---



***Audit, Evaluation  
and Investigations  
Resource Centers***

# Resource Centers

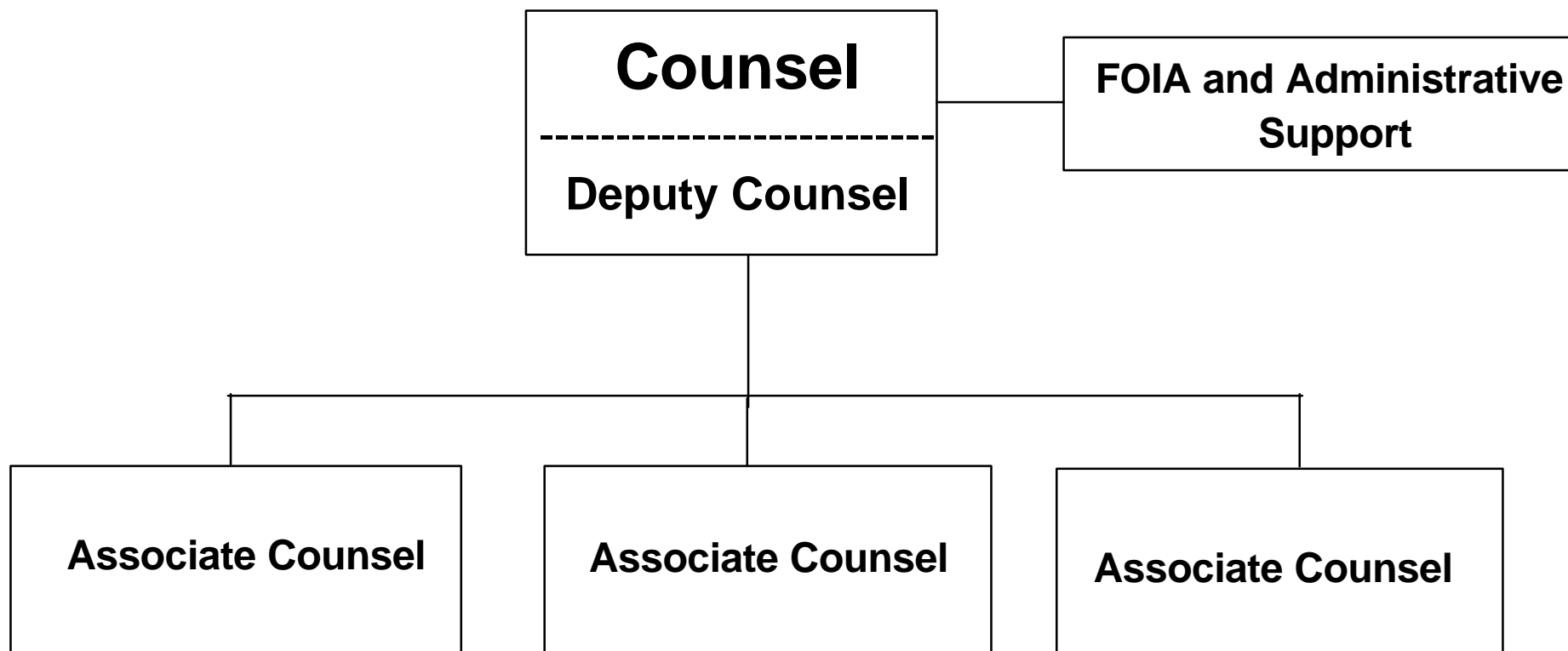
## Investigations Resource Centers

- WID
- CID
- EID
- MID

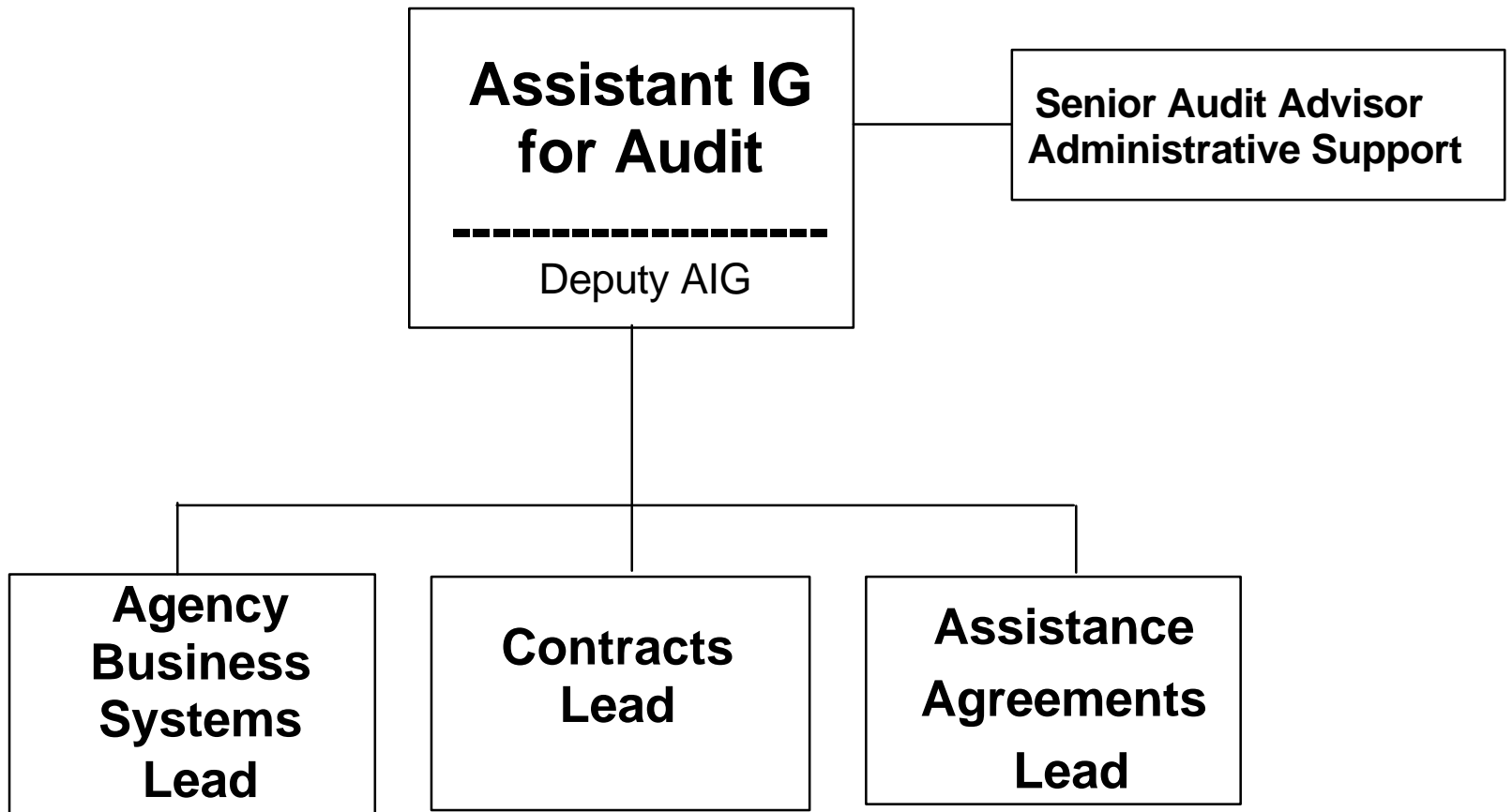
## Audit/Evaluation Resource Centers

- EAD
- MAD
- SAD
- CAD
- NAD
- WAD
- HAD
- FAD
- WCD
- IT
- ESS

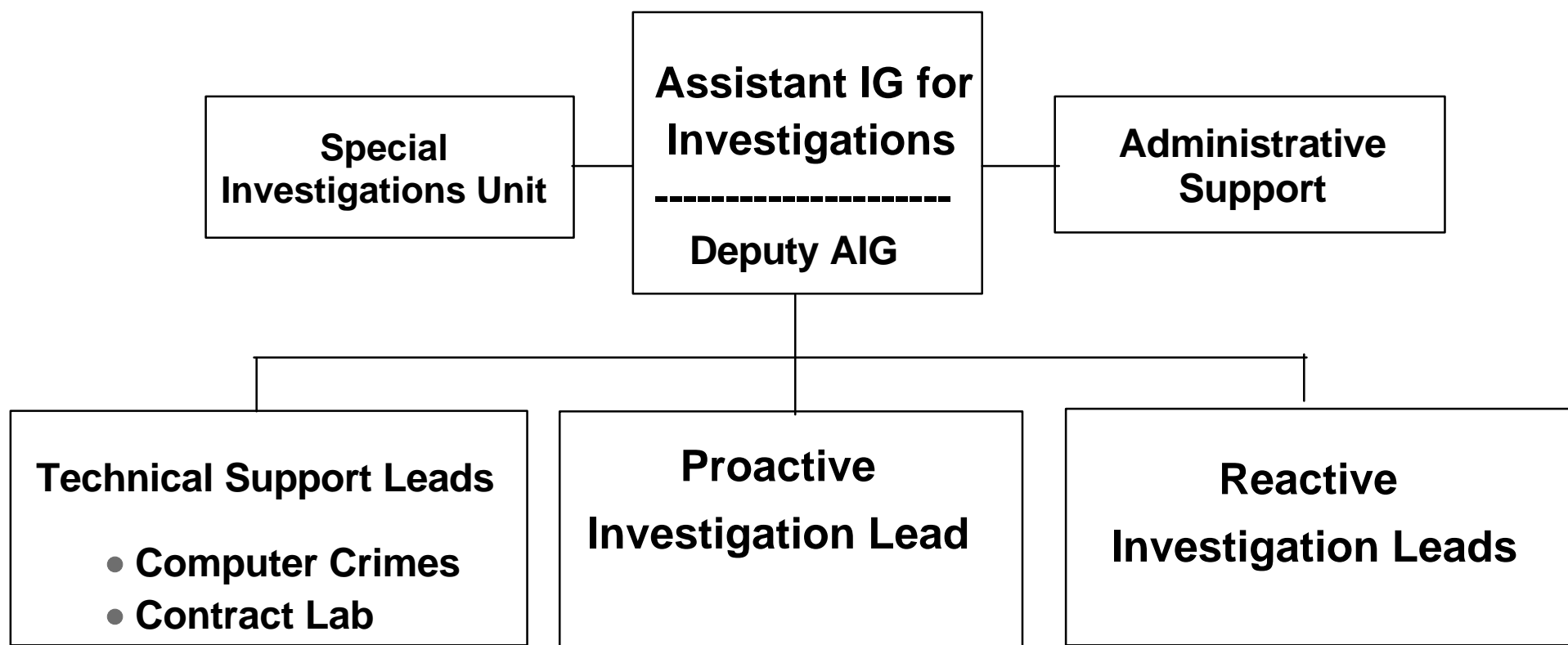
# Counsel



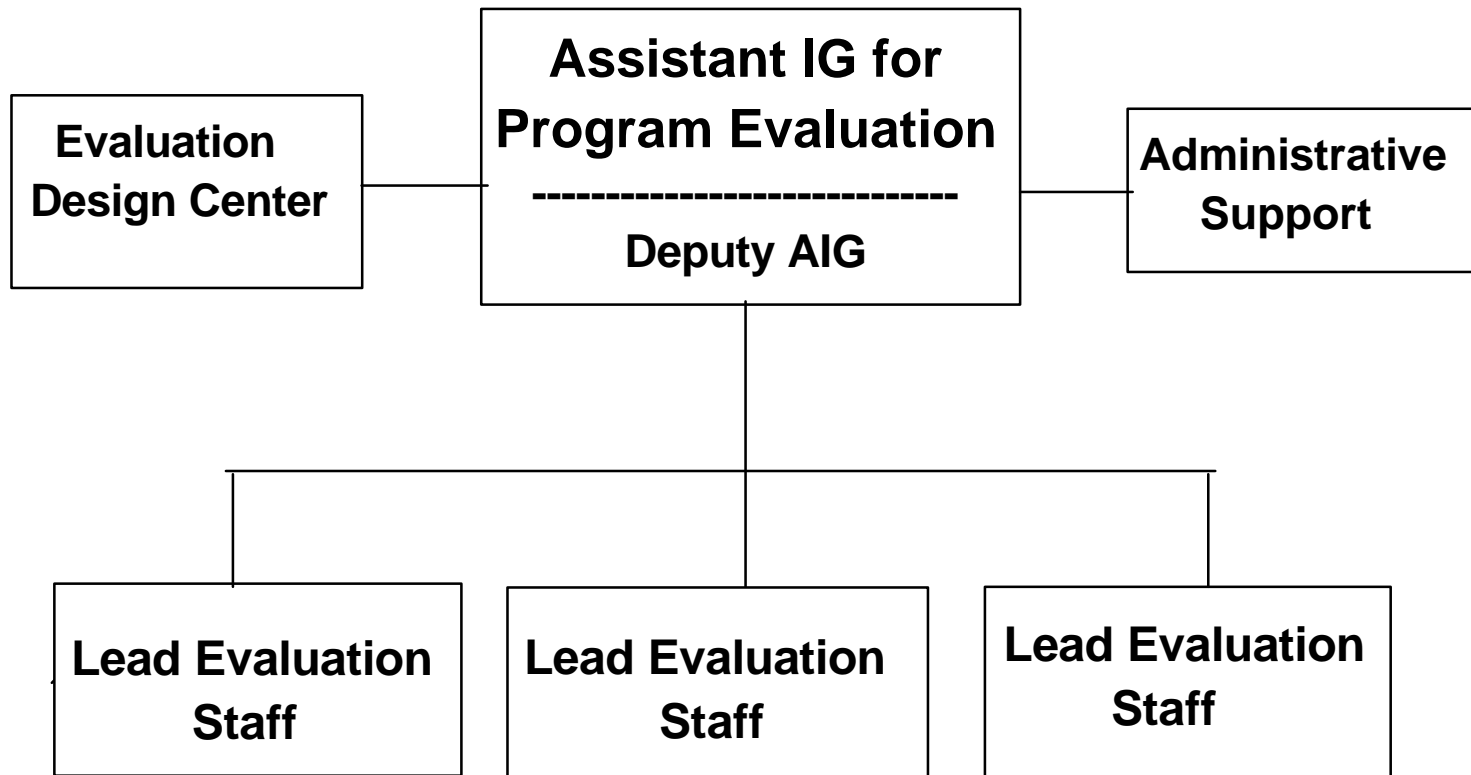
# Audit



# Investigations

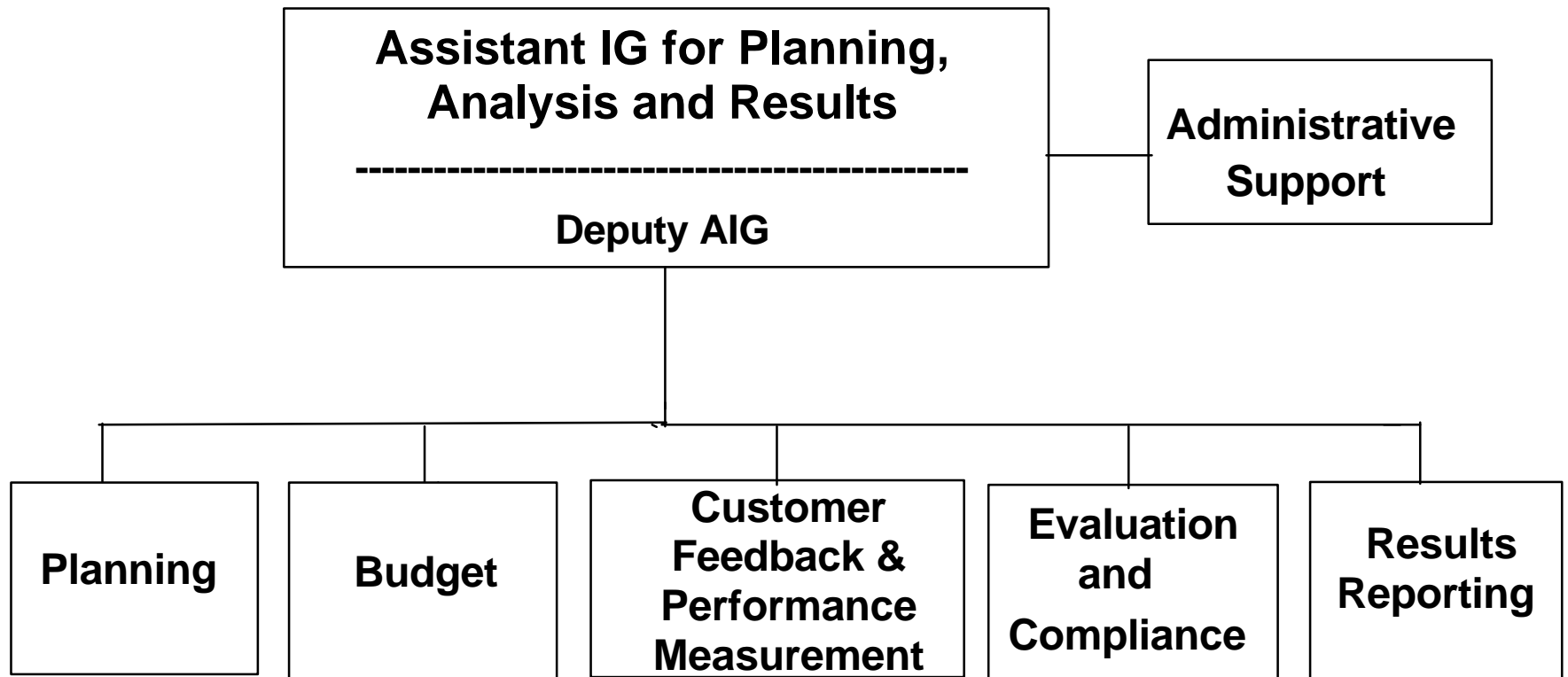


# Program Evaluation

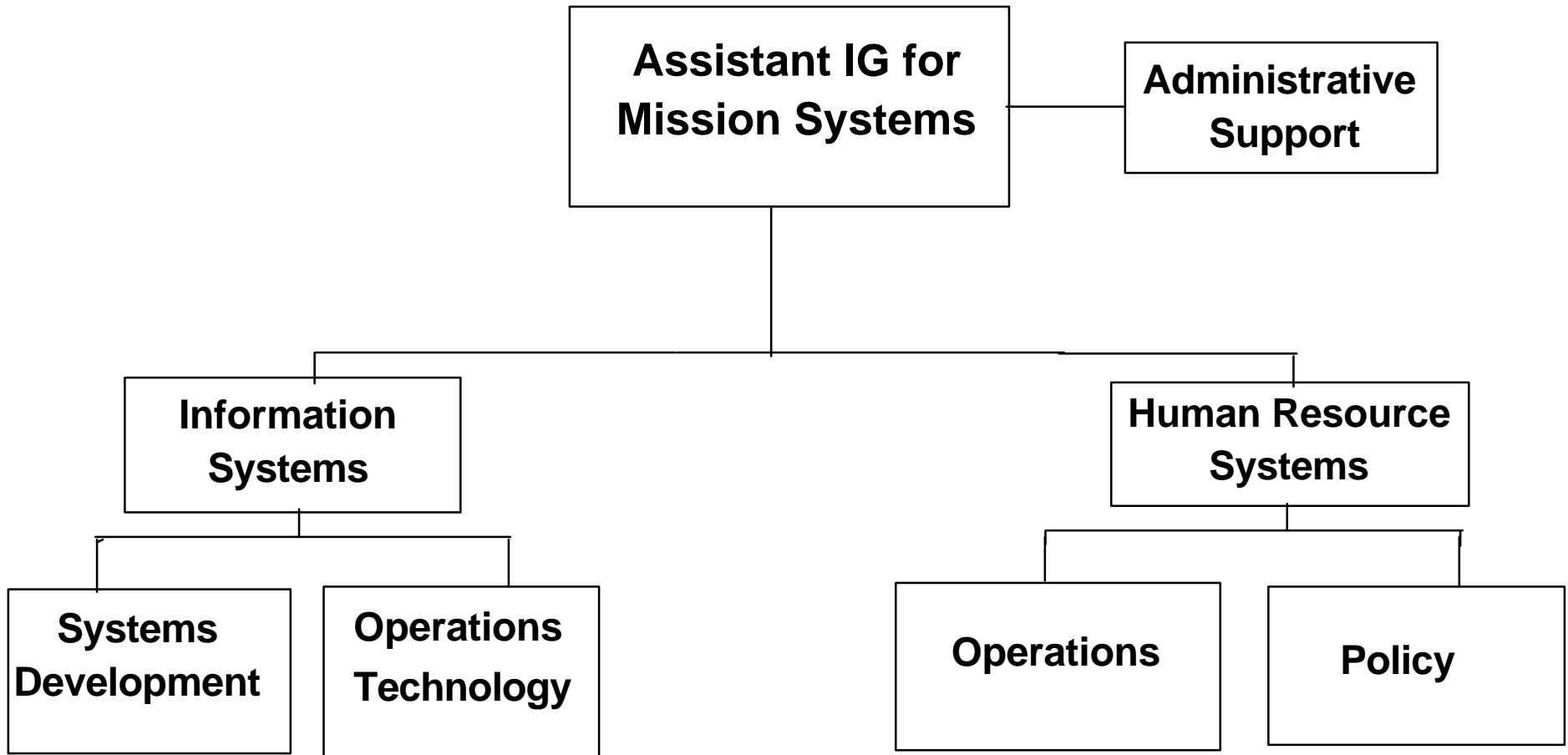




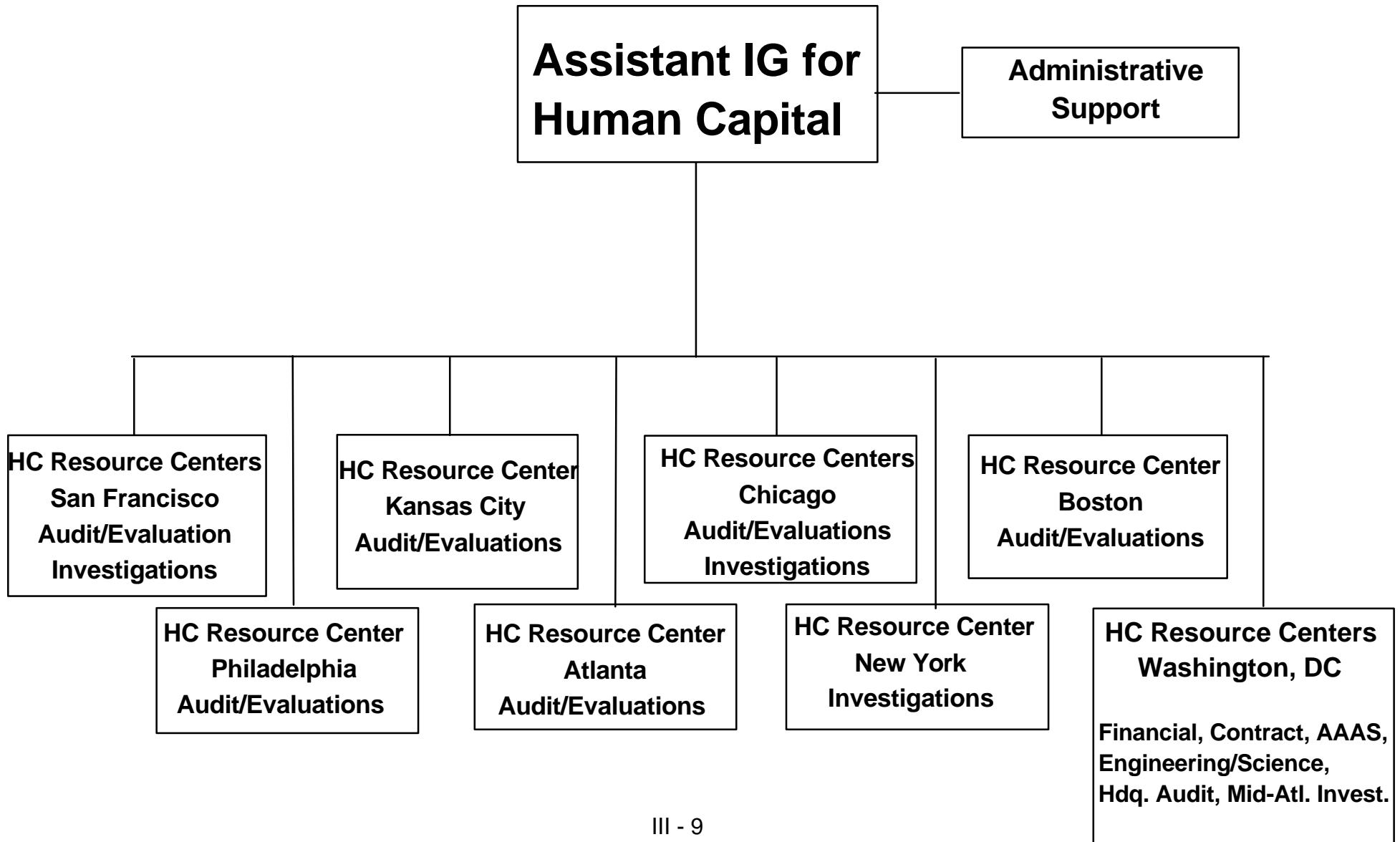
# Planning, Analysis and Results



# Mission Systems



# Human Capital



---

## Office of Inspector General - Organization and Functions

---

HEADQUARTERS OFFICE: **Inspector General - Immediate Office**

---

ORGANIZATIONAL HEAD **Inspector General**

REPORTS TO **EPA Administrator and Congress**

**FUNCTIONS**

The **Office of Inspector General** (OIG) has overall responsibility for audits, program evaluations, advisory and assistance services and investigations relating to programs and operations of EPA. The OIG provides leadership and coordination and recommends policies for Agency activities designed to promote economy and efficiency and to prevent and detect fraud and abuse in EPA programs and operations. The OIG informs the EPA Administrator and Congress of serious problems, abuses and deficiencies relating to EPA programs and operations and of the necessity for and progress of corrective actions. The OIG reviews existing and proposed legislation and regulations to assess the impact on the administration of EPA's programs and activities; and recommends policies for and coordinates relationships between the EPA and other federal agencies, state and local government agencies and non-governmental entities relating to the promotion of economy and efficiency and prevention and detection of fraud and abuse in programs administered by EPA. The Immediate Office of the Inspector contains the following two organizational units:

- ! The **Congressional and Media Relations Liaison** is in the immediate office of and reports to the Inspector General. The liaison serves as the principal point of contact for all congressional and media relations activities for the OIG; coordinates meetings, briefings, hearings, testimony development, and written correspondence between Congress and the Inspector General. The liaison ensures that, when appropriate, the position of the OIG is represented in legislative matters being considered by Congress. The liaison responds to press inquiries regarding OIG work and products; and maintains awareness of external audiences and pursues opportunities to proactively communicate information regarding the activities of the OIG.
- ! The **Systems/Science Advisor** who reports to the Inspector General provides expert and independent advice on issues relating to integration of business systems (such as, strategic planning, human resources, and performance and results) within and external to the OIG. He or she may also advise the Inspector General on issues relating to the scientific and technical problems facing the EPA, the results of specific scientific efforts, and the impact of emerging environmental problems. The Systems/Science Advisor works with product line Assistant Inspectors General to promote excellence in EPA's science and business systems.

---

## Office of Inspector General - Organization and Functions

---

HEADQUARTERS OFFICE: **Office of Counsel**

---

**ORGANIZATIONAL  
HEAD**

**Counsel to the Inspector General**

**REPORTS TO**

**Inspector General**

**FUNCTIONS**

The **Office of Counsel** provides all legal services and support to the Office of Inspector General and is independent of EPA's Office of General Counsel. The office is supervised by the Counsel to the Inspector General. The Office of Counsel manages, coordinates, and has overall responsibility for:

- ! providing legal advice and counsel to OIG staff;
- ! representing the IG and OIG staff in all administrative hearings;
- ! managing the Freedom of Information Act and Privacy Act response and appeal function for the OIG;
- ! reviewing OIG reports and other documents for legal sufficiency;
- ! training OIG staff in all legal issues;
- ! advising the IG on legal and policy issues involving the PCIE ; and
- ! working with the Office of General Counsel on legal matters involving the agency and the OIG.

---

## Office of Inspector General - Organization and Functions

---

HEADQUARTERS OFFICE: **Office of Audit**

---

**ORGANIZATIONAL  
HEAD**

**Assistant Inspector General for Audit**

**REPORTS TO**

**Inspector General**

**FUNCTIONS**

The **Office of Audit** manages, coordinates and has overall responsibility to lead the policy and direction of audits in three issue areas: business systems, contracts and assistance agreements. The issue area leads are headed by a senior auditor or analyst and are the focal points for all financial, performance and external audits related to their issue area. The issue area leads design long-term, multi-office, multi-agency audit plans and coordinate these with the OIG Office of Planning, Analysis and Results; coordinate the implementation of these multiple audits; synthesize findings from these reviews; and provide for the timeliness, tonal quality, and objective review of the resulting reports. The issue area leads also develop an annual work plan that outlines assignments in the goal areas they oversee to be completed by staff drawn predominately from the Resource Centers under the Office of Human Capital. The issue area leads provide technical and programmatic oversight of the project managers in the resource centers who manage assignments under the issue areas.

- ! The **Agency Business Systems Lead** plans, develops and oversees audits of EPA's business systems and process including: leadership, planning, customer focus, information and analysis, human resources, processes, and business results.
- ! The **Contracts Lead** designs, and oversees implementation of internal and external audits of EPA contracts.
- ! The **Assistance Agreements Lead** plans, develops and oversees external audits of assistance recipients and internal audits of EPA's management of assistance agreements, including grants and cooperative agreements, ensuring sound financial management and results that support Agency goals.

The Office of Audit leverages its resources by working with other federal, state and local audit organizations on reviews of mutual interest; and coordinates with the Office of Investigation on proactive and reactive work.

---

## Office of Inspector General - Organization and Functions

---

HEADQUARTERS OFFICE: **Office of Investigations**

---

**ORGANIZATIONAL  
HEAD**

**Assistant Inspector General for Investigations**

**REPORTS TO**

**Inspector General**

**FUNCTIONS**

The **Office of Investigations (OI)** manages, coordinates, and has overall responsibility for investigations relating to EPA programs and operations. OI conducts procurement and fraud-related investigations of major contractors and recipients of Agency funds; conducts criminal investigations of allegations of criminal wrongdoing concerning EPA employees; maintains liaison with U.S. Attorneys, Department of Justice, and federal investigative agencies. OI plans and coordinates nationwide investigations and provides technical guidance to Resource Centers which carry out investigative assignments.

The Office of Investigations in Headquarters is comprised of a Special Investigations Unit and three area leads, which are discussed below.

- ! The **Special Investigations Unit** conducts investigations requiring an immediate response, such as allegations of criminal wrongdoing and misconduct by Agency officials, Congressional inquiries, or internal investigations.
- ! The **Technical Support Leads** are in two areas:
  - A technical advisor for Contract Laboratories provides technical support and consultation for contract laboratory investigations nationwide.
  - The Computer Crimes group oversees Forensic Examination and Media Analysis and identifies, investigates and helps counter illegal intrusions of EPA's computer systems and for providing media support for ongoing investigative work.
- ! The **Proactive Investigative Lead** develop investigations in the major areas of contracts and assistance agreements that have the potential for nationwide impact; and participates in workload planning. Proactive assignments will be carried out by and supported by personnel in the Resource Centers.
- ! The **Reactive Investigative Leads** provide technical and programmatic oversight of the reactive investigations conducted by personnel in the Resource Centers; serve as focal points for quality assurance and quality control within the Office of Investigations; and conduct investigative office inspections, participate in policy development, respond to Congressional inquiries, and participate in workload planning.

---

## Office of Inspector General - Organization and Functions

---

HEADQUARTERS OFFICE: **Office of Program Evaluation**

---

**ORGANIZATIONAL  
HEAD**

**Assistant Inspector General for Program Evaluation**

**REPORTS TO**

**Inspector General**

**FUNCTIONS**

The **Office of Program Evaluation** (OPE) manages, coordinates, and has overall responsibility for leading the design and implementation of program evaluations within the OIG. It contributes to the OIG planning process and stays abreast of methods that can be used for evaluations both within and outside the OIG. The OPE reports to EPA and the Congress on the results of evaluations, including the synthesis of individual evaluations of program components and holistic studies of major programs and functional areas.

The Office of Program Evaluation is made up of an Evaluation Design Center and three or more Lead Evaluation Staffs.

- ! The **Evaluation Design Center** designs and manages applied research and analysis supporting OIG evaluations and provides analysis that supports OIG strategic planning and accountability for environmental, fiscal and managerial results. It develops a network of design and methodology experts to help design audit and evaluation strategies which maximize innovation leading to high quality products that accomplish the OIG's vision, mission and goals.
- ! Three or more **Lead Evaluation Staffs** are each headed by a Senior Evaluator for a media (air, water, etc.) or cross-media (monitoring, research, etc.) area. They are the focal points for all evaluations and performance audits related to their issue area. The Lead Evaluation Staffs design long-term, multi-office, multi-agency program evaluation plans; coordinate the execution of these audits and evaluations; synthesize findings from these reviews; and provide for the timeliness, tone, quality, and objective review of the resulting reports. The Lead Evaluation Staffs develop an annual work plan to be completed by auditors, evaluators and others drawn primarily from the OIG Resource Centers. The Senior Evaluators provide technical and programmatic oversight of the Project Managers and assignment teams in the Resource Centers. The Senior Evaluators also provide input to the OIG Office of Planning, Analysis and Results for strategic planning purposes.



---

## Office of Inspector General - Organization and Functions

---

**HEADQUARTERS OFFICE:**    **Office of Planning, Analysis, and Results**

---

**ORGANIZATIONAL HEAD**            **Assistant Inspector General for Planning, Analysis and Results**

**REPORTS TO**                    **Inspector General**

**FUNCTIONS**

The **Office of Planning, Analysis, and Results (OPAR)** is responsible for developing, managing, and supporting a goals-based management system for the OIG that involves strategic planning and accountability for environmental, fiscal, and managerial results. OPAR works closely with the other Assistant Inspectors General to maximize the effectiveness of all OIG operations. OPAR manages and coordinates IG compliance with the Government Performance and Results Act; oversees the OIG strategic planning process from design through submission to Congress and OMB; and manages an annual meeting to prepare annual performance plans containing performance goals, alternative resource needs scenarios, and performance measures based on multi-year action plans.

The responsibilities of the organizational units within the Office of Planning, Analysis and Results are discussed below.

- !        The **Planning Lead** is responsible for implementing the annual planning process by gathering all relevant information needed to plan and prioritize the OIG's work in accordance with the mission, goals, objectives and strategies outlined in the OIG's strategic plan.
  
- !        The **Budget Lead** is responsible for providing fiscal management and controllership of the OIG through budgets, operating plans, and financial reports; formulating, presenting and assisting in the execution of the OIG's appropriation; managing the Working Capital Fund service; overseeing the contracting activities of the OIG.
  
- !        The **Customer Service and Marketing Lead** is responsible for developing and managing an outreach and stakeholder involvement effort to support the accomplishment of the OIG's goals; coordinating relationships with Agency officials, Congress, OMB, other Federal IGs, GAO, and state and local audit and investigative groups; conducting surveys to determine customer expectations and assessments of OIG products and services; developing and analyzing performance measurements and related systems for collecting performance information..
  
- !        The **Analysis and Compliance Lead** is responsible for conducting reviews of OIG operations through program evaluations of headquarters and field activities; providing OIG staff and managers with information on actual versus planned results; reviewing proposed legislation and regulations and making recommendations concerning the impact of such legislation or

recommendations.

- ! The **Results Reporting Lead** is responsible for identifying, collecting and reporting key performance and resource information for use in managing the OIG's work to achieve the office's goals; preparing external reports, such as those required under GPRA, the Federal Managers' Financial Integrity Act, and the OIG's semiannual reports to Congress.

---

## Office of Inspector General - Organization and Functions

---

HEADQUARTERS OFFICE: **Office of Mission Systems**

---

**ORGANIZATIONAL  
HEAD**

**Assistant Inspector General for Mission Systems**

**REPORTS TO**

**Inspector General**

**FUNCTIONS**

The **Office of Mission Systems (OMS)** is responsible for developing and implementing the OIG's strategic and tactical information system and human resource system plans. OMS serves as the focal point for coordinating, developing, implementing, and maintaining OIG information resource management systems, developing and maintaining human resource systems, and providing human resource services for the OIG. To carry out these responsibilities, the OMS is organized into two divisions, each headed by a Director, who receives policy direction and guidance from the Assistant Inspector General.

**Information Systems Division**

This Division contains two leads: Systems Development Technology, and Operations Technology. These lead offices provide advice, consultation and support on all information resource management (IRM) issues related to the OIG, including IT related hardware and software needs. They also represent the OIG on Agency-wide and national IRM committees and workgroups.

- ! The **Systems Development** lead is responsible for IT system analysis, requirement/feasibility studies, development and design of applications and systems for OIG management and staff; development and maintenance of the OIG internet and intranet sites; and the Inspector General Operations and Reporting System (IGOR).
- ! The **Operations Technology** Lead is responsible for IT procurement; maintenance and support of the operations of the OIG LAN, hardware and software and assist in its procurement for both headquarters offices and Resource Centers; and information security support with a wide range of IT security programs for the OIG.

**Human Resources Systems Division**

This Division serves as the focal point for planning, developing and operating the OIG's human resource systems and delivering HR services to the OIG. Responsibilities for the leads are summarized below:

- ! The **HR Operations** lead oversees Human Resource outsourcing activities; resolves personnel and benefit issues of OIG employees; tracks HR personnel and performance management actions and initiatives; coordinates the OIG's Affirmative Employment and Diversity Action Plans; and interacts with vendors, contractors and professional and government organizations to

---

## Office of Inspector General - Organization and Functions

---

procure training for OIG staff.

- ! The **HR Policy** lead develops Human Capital policy, including recruitment and staffing; position descriptions; overseeing the OIG's performance management systems; developing and assisting in the implementation of a long term plan for workforce development for the OIG, including succession planning and executive development; maintaining the compendium of OIG directives.

---

## Office of Inspector General - Organization and Functions

---

HEADQUARTERS OFFICE:	<b>Office of Human Capital</b>
ORGANIZATIONAL HEAD	<b>Assistant Inspector General for Human Capital</b>
REPORTS TO	<b>Inspector General</b>
FUNCTIONS	<p>The <b>Office of Human Capital</b> manages, coordinates and provides supervision to OIG Resource Centers. This office is primarily responsible for career management and staff development of OIG employees, with secondary responsibilities for assignment accomplishment, customer relations, marketing and planning. The Office of Human Capital has overall responsibility to:</p> <ul style="list-style-type: none"><li>! mentor and coach staff on career management and provide career development opportunities for OIG employees;</li><li>! monitor and assist other Assistant Inspector General offices with OIG work plan implementation;</li><li>! assign Resource Center staff to work assignments based on assignment needs and employee career development requirements;</li><li>! monitor available OIG competencies and skills in relation to recruiting goals;</li><li>! provide quality assurance that assignments meet professional standards such as GAO, and OIG standards;</li><li>! provide customer relations and marketing of OIG products and services to EPA officials, partners and stakeholders; and</li><li>! lead in efforts to improve the audit and investigative process, make OIG reports and products more responsive to customer needs, and provide better services to EPA.</li></ul>

The following discusses the Resource Centers that are components of the Office of Human Capital.

### **Resource Centers for Audits, Evaluations and Investigations**

Human Capital Resource Centers are co-located in EPA geographic locations, with a number of branch offices. Each resource center is under the supervision of a Divisional Inspector General for Audit, a Divisional Inspector General for Investigations, or a Headquarters Office Director. The Divisional Inspectors General and Headquarters Office Directors have primary responsibility for ensuring employees develop competencies through formal training and career enhancing assignments. They are also responsible for managing their offices in accordance with established requirements, determining that audits, evaluations and investigations comply with applicable professional standards, and effectively representing the

OIG with its customers.

### **OIG Human Capital Resource Centers**

#### **Audit and Evaluations** **Locations**

**Eastern:**

Boston  
New York (branch)

**Mid-Atlantic:**

Philadelphia

**Central:**

Kansas City  
Denver (branch)  
Dallas (branch)

**Western:**

San Francisco  
Seattle (branch)  
Sacramento (branch)

**Northern:**

Chicago  
Cincinnati (branch)

**Southern:**

Atlanta  
Research Triangle Park NC (branch)

**Washington DC Offices:**

Headquarters Audits  
Contracts Audits  
Financial Audits  
ADP Audits and Assistance  
Engineering and Science

#### **Investigations** **Locations**

**Eastern:**

New York  
Boston (branch)

**Mid-Atlantic:**

Arlington, VA  
Philadelphia (branch)

**Central:**

Chicago  
Atlanta (branch)

**Western:**

San Francisco  
Seattle (branch)  
Los Angeles (future  
branch)

The Resource Centers for **Audits and Evaluations** provide staff to conduct performance audits, financial audits (both internal and external), and program evaluations of EPA operations in accordance with the OIG strategic and annual work plans. The Resource Centers provide Project Managers (typically at the GS-14 level) who (i) oversee multiple, contemporaneous reviews relating to a common topic (individual assignments typically carried out with a GS13 Team Leader and staff), (ii) lead complex assignments that are national in scope, and (iii) lead internal OIG initiatives to improve organizational performance. OIG staff in Resource Centers implement audit policies and standards, conduct assignments in accordance with policies and professional standards, and issue reports and other products. They arrange and oversee assistance provided by other federal agencies and non-federal entities, and maintain contacts with EPA, state and local government offices, commercial and not-for-profit organizations. The Resource Centers conduct local reviews for which they assume primary responsibility.

The following Resource Centers, located in Washington DC, maintain a staff with audit expertise in subject areas with up-to-date knowledge and skills. Staff stay abreast of current trends in auditing their areas of expertise and have the following responsibilities:

**Information Technology Resource Center.** Provide staff for audits of EPA's information resource management (IRM) activities; assists auditors, evaluators and investigators with assignments involving heavily computerized operations; and assists OIG staff to become more proficient in extracting information from computerized systems.

**Washington Contracts Resource Center.** Provide staff for audits of external contract audits; oversees the interagency agreement with the Defense Contract Audit Agency; and assists with investigations relating to contract/assistance fraud.

**Financial Audit Resource Center.** Primarily responsible for leading the annual audit of EPA's financial statement audits with assistance from other Resource Centers.

**Engineering and Science Resource Center.** Provide engineering, technical and scientific studies to support specific OIG assignments; reviews and provides technical interpretations of statutes, regulations and guidelines; and provides technical interpretations and support for legal or administrative actions in OIG audits, investigations and evaluations.

The Resource Centers for **Investigations** develop and maintain a staff with cutting edge investigative techniques and an up-to-date knowledge base to:

- ! conduct a program of investigations to prevent fraud, waste and abuse;
- ! identify and report operating conditions which may have actual or potential adverse effects upon EPA's mission;
- ! plan and develop procedures for handling allegations and complaints; and
- ! maintain continuing liaison with federal, state and investigative agencies.



## **DELEGATIONS OF AUTHORITY**

We have reviewed EPA's Delegation Manual and determined changes were not required. Agency manuals and orders will be revised accordingly after the reorganization takes place.